



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Agrafiotis *et al.*

Appl. No. 10/058,216

Filed: January 28, 2002

For: **Method, System, and Computer
Program Product for Analyzing
Combinatorial Libraries**

Confirmation No. 3315

Art Unit: 1631

Examiner: Mahatan

Atty. Docket: 1503.1230001

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Third Supplemental Information Disclosure Statement

Director of the United States
Patent and Trademark Office
PO Box 1450
Alexandria, VA 22313-1450

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Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application

does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- ☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- ☒ 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.
- ☐ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
 - ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ c. Attached is our PTO-2038 Credit Card Payment Form in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our Check No. _____ in the amount of \$ _____ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:
 - ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
 - ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the

foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.

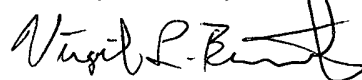
- ☐ 6. A concise explanation of the relevance of the non-English language document(s) appears below:
- ☐ 7. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. _____, filed _____, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

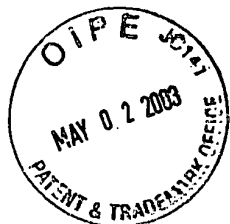
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Attorney for Applicants
Registration No. 47,415

Date: 5/2/03

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May 2, 2003

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Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Art Unit 1631

Re: U.S. Non-Provisional Utility Patent
Appl. No. 10/058,216; Filed: January 29, 2002
For: **Method, System, and Computer Program Product
for Analyzing Combinatorial Libraries**
Inventors: Agrafiotis *et al.*
Our Ref: 1503.1230001

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Sir:

Transmitted herewith for appropriate action are the following documents:

1. Third Supplemental Information Disclosure Statement;
2. Form PTO-1449 listing and accompanied by 195 documents; and
3. One return postcard.

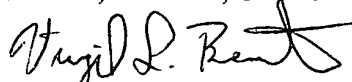
It is respectfully requested that the attached postcard be stamped with the date of filing of these documents, and that it be returned to our courier. In the event that extensions of time are necessary to prevent abandonment of this patent application, then such extensions of time are hereby petitioned.

Commissioner for Patents
May 2, 2003
Page 2

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.



Virgil L. Beaton
Attorney for Applicants
Registration No. 47,415

Enclosures

VLB/sjc
::ODMA\MHODMA\SKGF_DC1;130138;1

FORM PTO-1449

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U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB- CLASS | FILING DATE |
|---------------------|-----|--------------------|------|------|-------|---------------|-------------|
| | AA1 | | | | | | |
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FOREIGN PATENT DOCUMENTS

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|---------------------|-----|-----------------|---------|---------|-------|---------------|-------------|
| | AJ1 | EP 0 355 266 B1 | 02/1990 | EPO | B01J | 19/00 | Yes No |
| | AK1 | EP 0 355 628 B1 | 02/1990 | EPO | G21F | 9/00 | Yes No |
| | AL1 | EP 0 770 876 A1 | 05/1997 | EPO | G01N | 33/68 | Yes No |
| | AM1 | EP 0 818 744 A2 | 01/1998 | EPO | G06F | 17/50 | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

| | | | |
|--|----|----------|---|
| | AN | <u>1</u> | Borg, Ingwer and Groenen, Patrick, <i>Modern Multidimensional Scaling Theory and Applications</i> , Springer Series in Statistics, 1997, entire book submitted. |
| | AO | <u>1</u> | Agrafiotis, D.K. et al., "Advances in diversity profiling and combinatorial series design," <i>Molecular Diversity</i> , Kluwer Academic Publishers, Vol. 4, 1999, pp. 1-22. |
| | AP | <u>1</u> | Agrafiotis, D.K. and Lobanov, V.S., "An Efficient Implementation of Distance-Based Diversity Measures Based on k-d Trees," <i>Journal of Chemical Information and Computer Science</i> , American Chemical Society, Vol. 39, No. 1, January/February 1999, pp. 51-58. |
| | AQ | <u>1</u> | Agrafiotis, D.K. and Lobanov, V.S., "Bridging The Gap Between Diversity And QSAR," <i>Abstracts of Papers Part 1: 215th ACS National Meeting</i> , American Chemical Society, March 29-April 2, 1998, p. 181-COMP. |
| | AR | <u>1</u> | Agrafiotis, D.K. and Jaeger, E.P., "Directed Diversity@: An Operating System For Combinatorial Chemistry," <i>Abstracts of Papers Part 1: 211th ACS National Meeting</i> , American Chemical Society, March 24-28, 1996, p. 46-COMP. |

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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

FORM PTO-1449

THIRD SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENTATTY. DOCKET NO.
1503.1230001APPLICATION NO.
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U.S. PATENT DOCUMENTS

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| | AA2 | | | | | | |
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FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB- CLASS | TRANSLATION |
|---------------------|-----|-----------------|---------|---------|-------|---------------|-------------|
| | AJ2 | WO 91/19735 | 12/1991 | PCT | C07K | 7/02 | Yes No |
| | AK2 | WO 92/00091 | 01/1992 | PCT | A61K | 37/02 | Yes No |
| | AL2 | WO 93/20242 | 10/1993 | PCT | C12Q | 1/70 | Yes No |
| | AM2 | WO 94/28504 | 12/1994 | PCT | G06F | 15/60 | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

| | | | |
|--|----|---|--|
| | AN | 2 | Agrafiotis, D.K., "Diversity of Chemical Libraries," <i>Encyclopedia of Computational Chemistry</i> , John Wiley & Sons Ltd, Vol. 1:A-D, 1998, pp. 742-761. |
| | AO | 2 | Agrafiotis, D.K., "On the Use of Information Theory for Assessing Molecular Diversity," <i>Journal of Chemical Information and Computer Science</i> , American Chemical Society, Vol. 37, No. 3, May/June 1997, pp. 576-580. |
| | AP | 2 | Agrafiotis, D.K. et al., "Parallel QSAR," <i>Abstracts of Papers Part 1: 217th ACS National Meeting</i> , March 21-25, 1999, p. 50-COMP. |
| | AQ | 2 | Agrafiotis, D.K. et al., "PRODEN: A New Program for Calculating Integrated Projected Populations," <i>Journal of Computational Chemistry</i> , John Wiley & Sons, Inc., Vol. 11, No. 9, October 1990, pp. 1101-1110. |
| | AR | 2 | Agrafiotis, D.K. and Jaeger, E.P., "Stochastic Algorithms for Exploring Molecular Diversity," <i>Abstracts of Papers Part 1: 213th ACS National Meeting</i> , American Chemical Society, April 13-17, 1997, p. 16-CINF. |

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FORM PTO-1449

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| | AA3 | | | | | | |
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| | AJ3 | WO 95/01606 | 01/1995 | PCT | G06F | 15/42 | Yes No |
| | AK3 | WO 97/09342 | 03/1997 | PCT | C07H | 21/02 | Yes No |
| | AL3 | WO 97/20952 | 06/1997 | PCT | C12Q | 1/68 | Yes No |
| | AM3 | WO 97/27559 | 07/1997 | PCT | G06F | 19/00 | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

| | | | |
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| | AN | <u>3</u> | Agrafiotis, D., "Theoretical Aspects of the Complex: Arts and New Technologies," <i>Applications and Impacts Information Processing '94</i> , North-Holland, Vol. II, 1994, pp. 714-719. |
| | AO | <u>3</u> | Biswas, G. et al., "Evaluation of Projection Algorithms," <i>IEEE Transactions On Pattern Analysis And Machine Intelligence</i> , IEEE Computer Society, Vol. PAMI-3, No. 6, November 1981, pp. 701-708. |
| | AP | <u>3</u> | Bonchev, D. and Trinajstić, N., "Information theory, distance matrix, and molecular branching," <i>The Journal of Chemical Physics</i> , American Institute of Physics, Vol. 67, No. 10, November 15, 1977, pp. 4517, 4520-4533. |
| | AQ | <u>3</u> | Chang, C.L. and Lee, R.C.T., "A Heuristic Relaxation Method for Nonlinear Mapping in Cluster Analysis," <i>IEEE Transactions on Systems, Man, and Cybernetics</i> , IEEE Systems, Man, and Cybernetics Society, Vol. SMC-3, March 1973, pp. 197-200. |
| | AR | <u>3</u> | Cramer, R.D. et al., "Virtual Compound Libraries: A New Approach to Decision Making in Molecular Discovery Research," <i>J. Chem. Inf. Comput. Sci.</i> , American Chemical Society, Vol. 38, No. 6, November/December 1998, pp. 1010-1023. |

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DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

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FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB- CLASS | TRANSLATION |
|---------------------|-----|-----------------|---------|---------|-------|---------------|-------------|
| | AJ4 | WO 98/20437 | 05/1998 | PCT | G06F | 17/50 | Yes No |
| | AK4 | WO 98/20459 | 05/1998 | PCT | G06T | 11/20 | Yes No |
| | AL4 | | | | | | Yes No |
| | AM4 | | | | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

| | | | |
|--|----|----------|---|
| | AN | <u>4</u> | DeMers, D. and Cottrell, G., "Non-Linear Dimensionality Reduction," <i>Advances in Neural Information Processing Systems</i> , Vol. 5, 1993, pp. 580-587. |
| | AO | <u>4</u> | Frey, P.W. and Slate, D.J., "Letter Recognition Using Holland-Style Adaptive Classifiers," <i>Machine Learning</i> , Kluwer Academic Publishers, Vol. 6, 1991, pp. 161-182. |
| | AP | <u>4</u> | Friedman, J.H., "Exploratory Projection Pursuit," <i>Journal of the American Statistical Association</i> , American Statistical Association, Vol. 82, No. 397, March 1987, pp. 249-266. |
| | AQ | <u>4</u> | Friedman, J.H. and Tukey, J.W., "A Projection Pursuit Algorithm for Exploratory Data Analysis," <i>IEEE Transactions on Computers</i> , IEEE Computer Society, Vol. C-23, No. 9, September 1974, pp. 881-889. |
| | AR | <u>4</u> | Garrido, L. et al., "Use of Multilayer Feedforward Neural Nets As A Display Method for Multidimensional Distributions," <i>International Journal of Neural Systems</i> , World Scientific Publishing Co. Pte. Ltd., Vol. 6, No. 3, September 1995, pp. 273-282. |

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| | AJ5 | | | | | | Yes No |
| | AK5 | | | | | | Yes No |
| | AL5 | | | | | | Yes No |
| | AM5 | | | | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

| | | | |
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| | AN | 5 | Ghose, A.K. et al., "Prediction of Hydrophobic (Lipophilic) Properties of Small Organic Molecules Using Fragmental Methods: An Analysis of ALOGP and CLOGP Methods," <i>Journal of Physical Chemistry</i> , American Chemical Society, Vol. 102, No. 21, May 21, 1998, pp. 3762-3772. |
| | AO | 5 | Hall, L.H. and Kier, L.B., "The Molecular Connectivity Chi Indexes and Kappa Shape Indexes in Structure-Property Modeling," <i>Reviews in Computational Chemistry: Advances</i> , VCH Publishers, Inc., 1991, pp. 367-422. |
| | AP | 5 | Hecht-Nielsen, R., "Replicator Neural Networks for Universal Optimal Source Coding," <i>Science</i> , American Association for the Advancement of Science, Vol. 269, September 29, 1995, pp. 1860-1863. |
| | AQ | 5 | Hotelling, H., "Analysis of a Complex of Statistical Variables into Principal Components," <i>The Journal of Educational Psychology</i> , Warwick and York, Inc., Vol. XXIV, No. 6, September 1933, pp. 417-441. |
| | AR | 5 | Hotelling, H., "Analysis of a Complex of Statistical Variables into Principal Components," <i>The Journal of Educational Psychology</i> , Warwick and York, Inc., Vol. XXIV, No. 7, October 1933, pp. 498-520. |

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| | AJ6 | | | | | | No |
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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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| | AJ7 | | | | | | Yes No |
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| | AL7 | | | | | | Yes No |
| | AM7 | | | | | | Yes No |

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| | AJ8 | | | | | | No |
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| | AJ9 | | | | | | Yes No |
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| | AJ10 | | | | | | Yes No |
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| | AJ11 | | | | | | Yes No |
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| | AJ15 | | | | | | No |
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ATTY. DOCKET NO.
1503.1230001

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| | AJ16 | | | | | | No |
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| | AJ17 | | | | | | No |
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| | AJ18 | | | | | Yes No |
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| | AJ19 | | | | | | Yes No |
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| | AA20 | | | | | | |
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| | AJ20 | | | | | | Yes No |
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| | AJ21 | | | | | | Yes No |
| | AK21 | | | | | | Yes No |
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| | AM21 | | | | | | Yes No |

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| | AJ22 | | | | | | Yes No |
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| | AL22 | | | | | | Yes No |
| | AM22 | | | | | | Yes No |

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| | AJ23 | | | | | | Yes No |
| | AK23 | | | | | | Yes No |
| | AL23 | | | | | | Yes No |
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| | AJ24 | | | | | | Yes No |
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| | AA25 | | | | | | |
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| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB- CLASS | TRANSLATION |
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| | AJ25 | | | | | | Yes No |
| | AK25 | | | | | | Yes No |
| | AL25 | | | | | | Yes No |
| | AM25 | | | | | | Yes No |

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| | AA26 | | | | | | |
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| | AJ26 | | | | | | Yes No |
| | AK26 | | | | | | Yes No |
| | AL26 | | | | | | Yes No |
| | AM26 | | | | | | Yes No |

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| | AJ27 | | | | | | Yes No |
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| | AJ28 | | | | | | Yes No |
| | AK28 | | | | | | Yes No |
| | AL28 | | | | | | Yes No |
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| | AJ29 | | | | | | Yes No |
| | AK29 | | | | | | Yes No |
| | AL29 | | | | | | Yes No |
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| | AJ30 | | | | | | Yes No |
| | AK30 | | | | | | Yes No |
| | AL30 | | | | | | Yes No |
| | AM30 | | | | | | Yes No |

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| | AA31 | | | | | | |
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| | AJ31 | | | | | | Yes No |
| | AK31 | | | | | | Yes No |
| | AL31 | | | | | | Yes No |
| | AM31 | | | | | | Yes No |

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| | AJ32 | | | | | | Yes No |
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ATTY. DOCKET NO.
1503.1230001APPLICATION NO.
10/058,216APPLICANTS
Agrafiotis et al.FILING DATE
January 29, 2002GROUP
1631

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB- CLASS | FILING DATE |
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| | AA34 | | | | | | |
| | AB34 | | | | | | |
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| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB- CLASS | TRANSLATION |
|---------------------|------|-----------------|------|---------|-------|---------------|-------------|
| | AJ34 | | | | | | Yes No |
| | AK34 | | | | | | Yes No |
| | AL34 | | | | | | Yes No |
| | AM34 | | | | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

| | | | |
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| | AA35 | | | | | | |
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| | AJ35 | | | | | | Yes No |
| | AK35 | | | | | | Yes No |
| | AL35 | | | | | | Yes No |
| | AM35 | | | | | | Yes No |

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| | AN | <u>35</u> | Guez, A. and Nevo, I., "Neural networks and fuzzy logic in clinical laboratory computing with application to integrated monitoring," <i>Clinica Chimica Acta</i> , Elsevier Science Publishers B.V., Vol. 248, 1996, pp. 73-90. |
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| | AA36 | | | | | | |
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| | AJ36 | | | | | | Yes No |
| | AK36 | | | | | | Yes No |
| | AL36 | | | | | | Yes No |
| | AM36 | | | | | | Yes No |

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| | AJ37 | | | | | | Yes No |
| | AK37 | | | | | | Yes No |
| | AL37 | | | | | | Yes No |
| | AM37 | | | | | | Yes No |

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| | AQ | <u>37</u> | |
| | AR | <u>37</u> | |

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